



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:

Robert E. Smith, III

Serial No. 10/661,896

Filed: September 12, 2003

For: FLOATING SEAL FOR UNDERSEA
HYDRAULIC COUPLING

§
§
§
§
§
§
§
§
§
§

Group Art Unit

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P O Box 1450
Alexandria VA 22313-1450

Dear Sir:

Applicant hereby submits the following reference in accordance with 37 C.F.R. § 1.56 and 1.97. Copies of any foreign or publication references cited in the attached PTO-1449 are enclosed.

Respectfully submitted,

Keith Rutherford, Reg. No. 36,262

Wong, Cabello, Lutsch,
Rutherford & Brucculeri, L.L.P.
20333 SH 249, Suite 600
Houston, TX 77070
832/446-2425
Fax 832/446-2424

CERTIFICATE OF MAILING UNDER 1.8(a)

I hereby certify that this document is being sent via Express Mail addressed to Commissioner for Patents, P O Box 1450, Alexandria, VA 22313-1450 on this 6 day of January, 2004.



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Complete if Known			
		Application Number	10/661,896		
		Filing Date	09/12/2003		
		First Named Inventor	Robert E. Smith, III		
		Art Unit			
		Examiner Name			
Sheet		of		Attorney Docket Number	221-0072US

U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
		US- 5771927		10/24/1996	Johansen	
		US- 4768538		11/24/1987	Mintz	
		US- 5368070		12/04/1992	Bosley	
		US- 4900071		08/24/1988	Smith, III	
		US- 1872498		08/1932	Rasmussen et al.	
		US- 1928821		10/1933	Santiago	
		US- 2218318		10/1940	Pfauzer	
		US- 2265267		12/1941	Cowles	
		US- 2598009		05/1952	Peeps	
		US- 2703719		03/1955	Grotless	
		US- 2730380		01/1956	Espy et al.	
		US- 2735696		02/1956	Omon et al.	
		US- 2825590		04/1958	Sutherland	
		US- 3046026		07/1962	Burrows	
		US- 3089713		05/1963	Scaramucci	
		US- 3111179		11/1963	Albers et al.	
		US- 3215161		11/1965	Goodwin et al.	
		US- 3236251		02/1966	Hansen	
		US- 3291152		12/1966	Comer	
		US- 3331609		07/1967	Moran	

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No. ¹	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Office ³	Number ⁴	Kind ⁵ (if known)				
		EP	0024986		03/1981			
		DE2	647885		07/1937			
		FR	663132		10/1928			
		FR	1142462		12/1955			
		FR	76801		11/1958			
		FR	1491524		06/1966			
		CH	343726		07/1956			
		GB	552435		04/1943			
		GB	552682		04/1943			
		GB	677685		08/1952			

Examiner Signature		Date Considered	
-----------------------	--	--------------------	--

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Complete if Known

Sheet

of

Application Number

10/661,896

Filing Date

09/12/2003

First Named Inventor

Robert E. Smith, III

Art Unit

Examiner Name

Attorney Docket Number

221-0072US

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
		US-	3348575	10/1967	Simak	
		US-	3507523	04/1970	Cadley	
		US-	3550624	12/1970	Johnson	
		US-	3618690	11/1971	Johnson	
		US-	3707878	01/1973	Treichler	
		US-	3797510	03/1974	Torres et al.	
		US-	4124228	11/1978	Morrison	
		US-	4222411	09/1980	Herzan et al.	
		US-	4348039	09/1982	Miller	
		US-	4452462	06/1984	Karr, Jr.	
		US-	4582295	04/1986	Kugler et al.	
		US-	4637470	01/1987	Weathers et al.	
		US-	4641841	02/1987	Regan	
		US-	4694859	09/1987	Smith	
		US-	4709726	12/1987	Fitzgibbons	
		US-	4754780	07/1988	Smith	
		US-	4768538	09/1988	Mintz et al	
		US-	5052439	08/18/1989	Smith, III	
		US-				
		US-				

FOREIGN PATENT DOCUMENTS

[illegible]

Examiner
Signature

Date	
Considered	

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet

of

Complete if Known

Application Number	10/661,896
Filing Date	09/12/2003
First Named Inventor	Robert E. Smith, III
Art Unit	
Examiner Name	
Attorney Docket Number	221-0072US

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
		US- 5232021		08/03/1993	Smith	
		US- 5339861		08/23/1994	Smith	
		US- 5390702		02/21/1995	Smith	
		US- 5469887		11/28/1995	Smith	
		US- 5983934		11/16/1999	Smith	
		US- 6206040 B1		03/27/2001	Smith	
		US- 6375153 B2		04/23/2002	Smith	
		US- 6202691 B1		03/20/2001	Smith	
		US- 4694859		09/22/1987	Smith	
		US- 4884584		12/05/1989	Smith	
		US-				
		US-				
		US-				
		US-				
		US-				
		US-				
		US-				
		US-				
		US-				
		US-				
		US-				
		US-				

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Office ³	Number ⁴	Kind ⁵ (if known)				

Examiner
Signature

Date
Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Complete if Known

Application Number	10/661,896
Filing Date	09/12/2003
First Named Inventor	Robert E. Smith, III
Art Unit	
Examiner Name	
Attorney Docket Number	221-0072US

Sheet

of

Attorney Docket Number	221-0072US
------------------------	------------

[illegible]Date
Considered

Applicant's unique citation designation number (optional). ² Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 120 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. **SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.